DEPARTMENT OF THE NAVY
NAVAL SERVICE TRAINING COMMAND
2601A PAUL JONES STREET
GREAT LAKES, ILLINOIS 60088-2845

Canc: Nov 2020

NSTCNOTE 5200
IG
13 Nov 2019

NSTC NOTICE 5200

From: Commander, Naval Service Training Command

Subj: NAVAL SERVICE TRAINING COMMAND MANAGERS' INTERNAL CONTROL PROGRAM

Ref: (a) SECNAVINST 5200.35G
(b) Federal Manager's Financial Integrity Act of 1982
(c) NETCINST 5200.1
(d) NETCNOTE 5200

Encl: (1) MIC Primary/Alternate Coordinator Appointment Letter Template
(2) 2020 MICP Inventory of Assessable Units
(3) Functional Categories
(4) MICP Flowchart
(5) Operational Risk Management Assessment
(6) Internal Control System Test
(7) Sample MIC Certification Statement
(8) Major Accomplishments
(9) Material Weakness or Status of Corrective Actions
(10) Criteria for Major Accomplishment, Material Weakness, and Status of Corrective Actions

1. Purpose. Naval Service Training Command (NSTC) Managers' Internal Control Program (MICP) notice promulgates instructions and responsibilities for all NSTC domain activities and reflects the requirements of references (a) through (d). This notice establishes reporting requirements and due dates for the period 1 July 2019 to 30 September 2020.

2. Background. The Secretary of the Navy (SECNAV) requires compliance with the Federal Managers' Financial Integrity Act (Public Law 97-255). Reference (a) established mandatory MICP training for Primary and Alternate Managers' Internal Control (MIC) Coordinators and all functional area managers or higher level.

3. Discussion

a. The Department of the Navy MICP over Operations is the Navy's method for demonstrating and documenting compliance with reference (b). The federally mandated program ensures operational, fiscal, program and administrative internal controls provide a level of assurance towards operational and fiscal effectiveness and efficiency and minimize loss of life.

Implementation of a MICP increases an organization's understanding of internal controls, which result in better decision-making related to activities, objectives, operations and resources. SECNAV expects all managers to be actively involved in the MICP. During all audits and inspections, external agencies (Government Accountability Office, Department of Defense Inspector General, Naval Inspector General and Naval Audit Service) review command adherence with this program.

b. The MICP stresses using a variety of existing methods to gauge the effectiveness, efficiency and economy of work processes. A process is defined as the manner in which resources are employed in generating a product, performing a responsibility or rendering a service in support of the Navy's mission. It consists of starting and ending points that are connected by a series of decision points, includes metrics/internal controls and various work-related steps.

c. Key metrics quantify critical stages. Metrics measured earlier in the process allows more accurate process performance. Metrics can be used to baseline, monitor, manage, improve and reward performance. Metrics improve results and specifically identify problems.

d. MICP documentation shall be retained in-house for three years for turnover and inspection purposes. These efforts establish a perpetual state of readiness for any type of inspection. It also provides the basis for performing process self-assessments.

4. Action. To demonstrate compliance with reference (a), commands shall complete the following:

a. Commanding Officers (COs) and Officers-in-Charge (OICs) shall:

(1) Appoint, in writing, a command Primary and Alternate MIC Coordinator for the administration and coordination of the MICP and its reporting requirements. Commands will use enclosure (1) as a template.

(2) Within 30 calendar days of appointment, ensure the MIC Coordinators complete the online DON MICP Training Course (OASN-MCPT-1.3) or DON MICP 102: Internal Control Over Operations Lifecycle (OASN-MICP102-1.0), take a refresher course every three years thereafter, and maintain electronic copies of the appointment letters and completed training for inspection purposes.

b. NSTC Domain COs, OICs, Executive Officers, Assistant OICs, Directors, Program Managers and Process Owners shall:

(1) Complete the online DON MICP Training for Managers Course (OASN-MCPTM-1.3) or DON MICP 101: MICP Overview (OASN-MICP101-2.0) which is only required once.

(2) Provide an electronic copy of the completed training to the Primary/Alternate MIC Coordinator for inspection purposes.

c. Evaluate the Inventory of Assessable Units

(1) The inventory shall reflect processes that are actually performed within the command. Compare your inventory shown in enclosure (2) to the functional categories shown in enclosure (3). Ensure your inventory reflects mission critical, as well as financial compliance, administrative support and universal processes. Each Naval Reserve Officers Training Corps (NROTC) Unit and Maritime Academy will use page 9 of enclosure (2) as a template to annotate its applicable information.

(2) When evaluating the pertinent processes with the applicable governing directives, determine if the process is susceptible to potential internal control breakdowns in protecting Information Assurance and Personally Identifiable Information. Due to high visibility, pay close attention to: audit readiness of operational processes requiring financial accountability, Contract Management, Government Commercial Purchase Card Program, Government Travel Charge Card Program, Defense Travel System, Civilian Time and Attendance, Property Accountability/Management, Urinalysis Program, Cyber Security, Privacy Act Program, Command Managed Equal Opportunity Program, Sexual Assault Prevention and Response Program, Emergency Action Planning, Anti-Terrorism Force Planning, Operations/Physical and Personnel Security, Suicide Prevention Program, Voting Assistance Program, Strategic Planning and safety issues associated with a process.

(3) Managers review and adjust previously developed flowcharts or create flowcharts for all work processes in the command's MICP inventory. A one-page linear flowchart is required to depict a process. Each flowchart will include the following:

(a) Command name and title outlining the process

(b) Purpose to include the primary governing directive

(c) Office code to include contact telephone number and email address

(d) Current date annotating reviewed or revised

(e) Two or three key metrics for each process

(f) Description of acronyms used

(g) For Official Use Only (FOUO) Statement

(4) Enclosure (4) provides a sample method for developing a flowchart. Electronically submit new or revised flowcharts to judith.goldsmith1@navy.mil not later than (NLT) 20 March 2020. NROTC Units and Maritime Academies shall not forward flowcharts, but shall retain the flowcharts in-house for turnover and inspection purposes.

d. Operational Risk Management (ORM) Assessment, NSTC Domain Strategic Goals, Key Metrics and Internal Control System Test (ICST)

(1) Ensure an ORM Assessment has been performed for each assessable unit process. Safety, as well as administrative hazards, risks and/or vulnerabilities for each process are to be identified and assigned a Risk Assessment Code (RAC). Use enclosure (5), to document the assessment and electronically submit the ORM Assessments to judith.goldsmith1@navy.mil NLT 27 March 2020. NROTC Units and Maritime Academies shall not forward ORM Assessments, but shall retain the ORM Assessments in-house for turnover and inspection purposes.

(2) Ensure an ICST is used to examine each process for efficiency, effectiveness, and economy. Each process shall be linked to one NSTC Domain Strategic Goal documented on enclosure (6). Identify the two or three key metrics used on the flowchart to measure performance in block five. Internal controls shall be tested by performing a physical inspection or walk-through, interviewing cognizant personnel and/or evaluating data. Electronically submit ICSTs to judith.goldsmith1@navy.mil NLT 27 March 2020. NROTC Units and Maritime Academies shall not forward the ICSTs, but shall retain the ICSTs in-house for turnover and inspection purposes.

e. Annual MICP Certification Statement (Statement of Annual Assurance (SOA)

(1) To demonstrate the existence of a clear audit trail of accountability, each NSTC program manager and subordinate commands shall electronically submit a signed annual certification statement to Commander, NSTC (CNSTC) via the NSTC Inspector General (IG), NLT 3 April 2020. Enclosure (7) is a Sample MICP Certification Statement. NSTC IG will then forward a consolidated statement for CNSTC's signature to Commander, Naval Education and Training Command (CNETC) via NETC IG for compilation. CNSTC's statement will be forwarded electronically NLT 8 April 2020.

(2) When necessary, use enclosure (8) to document a Major Accomplishment (MA) or enclosure (9) to document a Material Weakness (MW) or Status of Corrective Actions on a weakness not previously reported as closed.

(3) Enclosure (10) is the criteria to be used for selecting command MAs, MWs and Status of Corrective Actions for inclusion in the MICP SOA.

f. NSTC IG will conduct annual spot checks of selected NROTC Units and Maritime Academies MICP documentation. The selected commands will be notified of the dates to electronically submit the documentation to judith.goldsmith1@navy.mil.

5. Records Management. Records created as a result of this notice, regardless of media or format, must be managed per Secretary of the Navy Manual 5210.1 of January 2012.

6. Forms. For NSTC/RTC/OTC personnel, electronic MICP forms are available on the NSTC shared drive under S:\GRLK\NSTC\MICP 2020\FORMS. For NROTC Units and Maritime Academies, electronic MICP forms are available on the NSTC Home Page under Other Links/NSTC IG/MICP.

7. Point of Contact. If you have questions, please contact Ms. Judith Goldsmith, NSTC IG, who can be reached at COMM: (847) 688-2258, DSN: 792.

MILTON J. SANDS III

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This instruction is cleared for public release and is available electronically only via the Naval Service Training Command issuance website,
http://www.netc.nav.mil/nstc/NSTC Directives/instructions.html

DEPARTMENT OF THE NAVY
COMMAND NAME
STREET ADDRESS
CITY, STATE AND ZIP CODE

5200
Ser /

From: Commanding Officer, Command Name
To: Appointee Name

Subj: APPOINTMENT AS MANAGERS' INTERNAL CONTROL PRIMARY/ALTERNATE COORDINATOR

Ref: (a) SECNAVINST 5200.35G

1. In accordance with reference (a), each Department of the Navy Major Assessable Unit (MAU) and their immediate subordinates shall appoint an organizational Managers' Internal Control (MIC) Coordinator and Alternate responsible for the administration and coordination of the MIC Program to align with the reporting requirements of the Federal Managers' Financial Integrity Act (FMFIA).

2. Effective immediately, you are appointed as the MIC Coordinator for Command Name. This responsibility includes oversight of MIC Program efforts throughout Command Name. You will be guided in the performance of your duties by the provisions of reference (a).

3. As Command Name MIC Primary/Alternate Coordinator, you are to facilitate the implementation of a comprehensive system of internal controls to establish and maintain compliance with noted policy and Command Name guidance. Your responsibilities will include:

a. Provide compliance oversight and guidance that adheres to applicable laws, regulations, and administrative policies.

b. Develop and sustain a comprehensive internal control environment that supports effective and efficient auditable business processes and procedures.

c. Ensure all MIC Program reporting and supporting documentation requirements are met in accordance with reference (a).

d. Prepare Command Name annual MIC Program Certification Statement for the FMFIA processes in accordance with references (a).

e. Maintain an effective tracking and monitoring system to ensure acceptable performance and prompt correction of identified control deficiencies.

f. Obtain MIC training within 30 calendar days of this appointment and a refresher course every three years thereafter.

g. Notify the organization of MIC training opportunities and ensure points of contact satisfy and maintain all training requirements.

4. This appointment is valid until rescinded.

CO's Name
Title

ACKNOWLEDGEMENT

By my signature, I acknowledge my appointment as Command Name MIC Primary/Alternate Coordinator. I have read and understand my responsibilities, accountability, and duties as described in paragraph 3, (a) through (g). I further understand and acknowledge that this appointment will remain in effect until revoked in writing by you or your successor or until I am transferred, separated for any reason, or retired from federal service.

_____
APPOINTEE NAME

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Any misuse or unauthorized disclosure may result in both civil and criminal penalties.

2020 MICP INVENTORY OF ASSESSABLE UNITS (IAU)

Naval Service Training Command (NSTC)

Code	Office Name	Process	Process Owner	POC & Phone	2020 Flow Chart	2020 ICST/ ORM	2020 Cert Stmt	Comments
	Special Assistants							
UPC		Urinalysis Program	LT Justin Lamothe	LT Lamothe (847) 688-7600, X163				
VAO		Voting Assistance Program	Mr. Michael Prelich	Mr. Prelich (847) 688-7828, X247				
CMEO		Command Managed Equal Opportunity (CMEO)/EO Program (3)	VACANT					
JAG		Command Investigations (JAGMAN)	LCDR Darren Myers, JAGC	LCDR Myers, (847) 688-7600, X463				
CFL		Physical Readiness Program	MMC Luciano Almonte	MMC Almonte (847) 688-7470, X246				
SAPR		Sexual Assault Prevention and Response (SAPR) Program (5)	LT Donna Vorpagel-Gunther	LT Vorpagel-Gunther, (847) 688-7600, X178				
DAPA		Drug and Alcohol (DAPA) Program	LT Audrey Talbot	LT Talbot, (847) 688-7600, X350				
SPC		Suicide Prevention Program	LCDR Brian Lees	LT Kellen Lewis (847) 688-7537, X2				
EAP		Emergency Action Planning (EAP) (2)	LT Audrey Talbot	LT Talbot, (847) 688-7600, X350				
ATP		Anti-Terrorism Force Planning (ATFP)	LT Audrey Talbot	LT Talbot, (847) 688-7600, X350				
OPSEC		Operational Security	LT Justus Cook	LT Cook, (847) 688-7600, X170				
N003	**Protocol**	RTC Graduation Planning (Visitors)	Mr. Sean Ozolins	Mr. Ozolins, (847) 688-7853				
		VIP Tours	Mr. Sean Ozolins	Mr. Ozolins, (847) 688-2853				
		Ceremonial Protocol Guidance	Mr. Sean Ozolins	Mr. Ozolins, (847) 688-2853				
		Social Event Planning	Mr. Sean Ozolins	Mr. Ozolins, (847) 688-2853				
N004	**Security**	Personnel Security	Mr. Michael Prelich	Mr. Prelich, (847) 688-7828, X247				

2020 MICP INVENTORY OF ASSESSABLE UNITS (IAU)

Code	Office Name	Process	Process Owner	POC & Phone	2020 Flow Chart	2020 ICST/ ORM	2020 Cert Stmt	Comments
N005	**Flag Admin**	Correspondence	LT Dave Tejeda	LT Tejeda, (847) 688-2500, X107				
		Congressional	LT Dave Tejeda	LT Tejeda				
		Instructions	LT Dave Tejeda	LT Tejeda				
		Awards	LT Dave Tejeda	LT Tejeda				
		Mail Distribution	LT Dave Tejeda	LT Tejeda				
N1	**Manpower**	Civilian Recruitment Personnel Actions	Ms. Carrie Long	Ms, Whittington, (847) 688-2682, X199				
		Civilian Monetary Awards	Ms. Carrie Long	Ms. Whittington				
		Telework	Ms. Carrie Long	Ms. Whittington				
N4	**Logistics**	Government Commercial Purchase Card (GCPC) Program	Mr. Jerry Long	Ms. Kleinschmidt, (847) 688-5855, X187				
		Supply Management	Mr. Jerry Long	Mr. Long, (847) 688-4141, X454				
		Telecommunications	Mr. Jerry Long	Mr. Long				
		Property Management	Mr. Jerry Long	Mr. Long				
		Support Agreement Program (SAP)	Mr. Jerry Long	Ms. Kleinschmidt				
		Ammunition Requisitions	Mr. Jerry Long	Mr. Long				
N6	**Information Technology**	IA Cyber Security Work Force Training	Mr. David Coles	Mr. Waupoose, (847) 688-3456, X301				
		IA Violation/Gov Directed Action (GDA)	Mr. David Coles	Mr. Waupoose				
		IA Vulnerability Management	Mr. David Coles	Mr. Waupoose				
		IA Manage Legacy Access	Mr. David Coles	Mr. Waupoose				
N7	**Training**	Fleet Requirement Implementation	LCDR Allen Keys	LCDR Keys, 847-688-7600, X123				
		Curriculum Management	LCDR Allen Keys	LCDR Keys				
		Summer Training	LCDR Allen Keys	CDR Christopher Benjamin, (847) 688-7600, X299				

2020 MICP INVENTORY OF ASSESSABLE UNITS (IAU)

Code	Office Name	Process	Process Owner	POC & Phone	2020 Flow Chart	2020 ICST/ ORM	2020 Cert Stmt	Comments
N8	**Comptroller**	Accounting - Labor Processing	Ms. Pam Madden	Ms. Pam Madden (847) 688-6808, X416				
		Accounting – Transactions	Ms. Pam Madden	Ms. Madden				
		Civilian Time and Attendance (T&A) Program	Ms. Pam Madden	Ms. Madden				
		Budget Formulation (2)	Ms. Pam Madden	Ms. Madden				
		Admin. Control of Travel	Ms. Pam Madden	Mr. Troy Davidson, (847) 688-6808, X445				
		Government Travel Charge Card (GTCC) Program (4)	Ms. Pam Madden	Mr. Davidson				
		Admin. Control of Premium Travel	Ms. Pam Madden	Mr. Davidson				
IG	**Inspector General**	Hotline Complaints (HLC) Program	Ms. Judith Goldsmith	Mr. Kevin DuBose, (847) 688-2286				
		Managers' Internal Control Program (MICP)	Ms. Judith Goldsmith	Mr. DuBose				
		Command Evaluation (CE) Program	Ms. Judith Goldsmith	Mr. DuBose				
		Command Inspection Program (CIP)	Ms. Judith Goldsmith	Mr. DuBose				
OGC	**Office of General Counsel**	Ethics-OGE 450 Review	Mr. John Matuszak	Ms. Sarah Serdin, (847) 688-5614				
		FOIA/Request for Privacy Act Information	Mr. John Matuszak	Ms. Serdin				
		Privacy Act	Mr. John Matuszak	Ms. Serdin				

2020 MICP INVENTORY OF ASSESSABLE UNITS (IAU)

Code	Office Name	Process	Process Owner	POC & Phone	2020 Flow Chart	2020 ICST/ ORM	2020 Cert Stmt	Comments
PAO	**Public Affairs Office**	Media Relations	LCDR Fred Martin	Mr. Michael Miller (847) 688-2201, X195				
		Community Relations	LCDR Fred Martin	Mr. Miller				
		Internal Information	LCDR Fred Martin	Mr. Miller				
		Press Releases	LCDR Fred Martin	Mr. Miller				
		Maintain Web Site	LCDR Fred Martin	Mr. Miller				
CD	**Citizenship Development**	Curriculum Management	Mr. Tim Daseler	Ms. Teresa Casey, (850) 452-9507				
		Integrated Logistics Support	Mr. Tim Daseler	Ms. Casey				
		Personnel Management	Mr. Tim Daseler	Ms. Casey				
N9	**NROTC Operations**	Program Management	Mr. Mark Gough	Mr. Mark Gough, (850) 452-4983				
		Command Assessment Training Team (CATT) Program	CAPT Donald Nisbett	LCDR Chau Luu, (850) 452-4962				Effective Jan 2020, PO-CAPT Riley
		Nuclear Accessions (includes STA-21)	CAPT Nirav Patel	LT Justin Lamothe, (847) 688-7600, X163				
		Summer Cruise – Nuclear Option	CAPT Nirav Patel	LT Kevin Matuszewski (847) 688-7600, X163				
		Selection & Placement Program Accessions and Candidate Guidance (2)	Ms. Cathy Kempf	Mr. Tom Glazer, (850) 452-2343				
		Selection & Placement – STA 21 Program Accession	Ms. Cathy Kempf	Mr. Glazer				
		Student Operations (Disenrollments & Unit Correspondence) (2)	LCDR Chau Luu	LCDR Luu				
		Operational Data Support Requests	Ms. Marjorie McIntyre	Ms. McIntyre, (850) 452-4973				
								Total: 67 Processes

2020 MICP INVENTORY OF ASSESSABLE UNITS (IAU)

Officer Training Command (OTC)

Code	Office Name	Process	Process Owner	POC & Phone	2020 Flow Chart	2020 ICST/ ORM	2020 Cert Stmt	Comments
OTC		**Procurement**						
		Government Commercial Purchase Card (GCPC) Program	LCDR Derrick Randle	LCDR Randle, (401) 841-3345				
		Government Travel Charge Card (GTCC) Program	Mrs. Tara Duncan	Mrs. Duncan, (401) 841-6630				
		Property Management						
		Minor Property (3)	Mr. Dan Podesta	Mr. Podesta, (401) 841-1197				
		Communications/Security/Intelligence						
		Telephone / Cell Phone Services & Usage	Mr. Kenny Lee	Mr. Lee, (401) 841-2919				
		Information Management						
		Network Security (2)	Mr. Tony Riley	Mr. Riley, (401) 841-7930				
		Information Assurance (2)	Mr. Tony Riley	Mr. Riley				
		Personnel and/or Organization Management						
		Anti-Terrorism Force Planning (ATFP)	LT Lehvy Davis	LT Davis, (401) 841-1926				
		Command Managed Equal Opportunity (CMEO) Program	SCPO Darrick Terry	SCPO Terry, (401) 841-2016				
		Curriculum Development / Management / Control / Feedback	Ms. Heather Yeles	Ms. Yeles, (401) 841-6996				
		Drug & Alcohol Programs (DAPA)	ATCS Adam Gladding	ATCS Gladding, (401) 841-2059				
		Emergency Management	Mr. Dan Podesta	Mr. Podesta (401) 841-1197				
		Navy / General Military Training (GMT)	LT Benjamin Hatef	LT Hatef (401) 841-3324				
		Instructor Certification / Evaluation	Ms. Gloria Shafaee-Moghadam	Ms.Shafaee-Moghadam, (401) 841-1951				
		Master Training Specialist (MTS) Program	MMCS Jamie Hebert	MMCS Hebert (401) 841-7401				

2020 MICP INVENTORY OF ASSESSABLE UNITS (IAU)

Code	Office Name	Process	Process Owner	POC & Phone	2020 Flow Chart	2020 ICST/ ORM	2020 Cert Stmt	Comments
		Military Awards	YNC Jimenez	YNC Jimenez, (401) 841-4019				
		Quota Control / Management	Ms. Mary Grota	Ms. Grota, (401) 841-2170				
		Personnel Security	CWO4 Bruce Hendrix	CWO4 Hendrix (401) 841-3830				
		Sexual Assault Prevention & Response (SAPR) Program	LT Sarah Howe	LT Sarah Howe, (401) 841-1925				
		Student Management (SCD)	LT Kuran Bricker	LT Bricker, (401) 841-6891				
		Operations Security (OPSEC)	LT Lehvy Davis	LT Davis, (401) 841-1926				
		Comptroller/Resource Management						
		Budget Formulation	Mr. Kenny Lee	Mr. Lee, (401) 841-2919				
		Civilian Time and Attendance (T&A)	Ms. Cathy Ramos	Ms. Ramos, (401) 841-4316				
		Support Services						
		Command Evaluation (CE) Program	ACCS Jacqueline Williams	ACCS Williams (401) 841-3902				
		Mail Processing	Mr. Dan Podesta	Mr. Podesta, (401) 841-1197				
		Managers' Internal Control Program (MICP)	CWO4 Bruce Hendrix	CWO4 Hendrix, (401) 841-3830				
		Military Justice	YNC Jimenez	YNC Jimenez, (401) 841-4019				
		Urinalysis Program	MRC Joshua Haskell	MRC Haskell, (401) 841-7239				
		Suicide Prevention Program	LT Jessica Sanders	LT Sanders, (401) 841-7959				
								Total: 28 Processes

2020 MICP INVENTORY OF ASSESSABLE UNITS (IAU)

Recruit Training Command (RTC)

Code	Office Name	Process	Process Owner	POC & Phone	2020 Flow Chart	2020 ICST/ ORM	2020 Cert Stmt	Comments
RTC	**Admin**	Awards (ADMIN)	Mr. Johnathan Dingler	Mr. Dingler, (847) 688-4949, X106				
	Admin	Military Leave Accounting (ADMIN)	Mr. Johnathan Dingler	Mr. Dingler				
	Admin	Civilian Time and Attendance (T&A)	Ms. Leanna Boyer	Ms. Boyer, (847) 688-4949, X213				
	Admin	Privacy Act / FOIA Program	Mr. Johnathan Dingler	Mr. Dingler				
	MTD	PT Program (RDC School and Staff)	LT Paul Eberlin	LT Eberlin, (847) 688-4949, X166				
	MTD	Curriculum Development (CISD/CIED)	LT Jessika Hall	LT Hall, (847) 688-4949, X 224				
	MTD	Test Change Implementation (CISD/CIED)	LT Jessika Hall	LT Hall				
	MTD	Instructor of the Year Program (MTD/CISD)	HTC Michael Watts	HTC Watts, (847) 688-4949, X254				
	Security	Emergency Action Planning (EAP)	MAC Zanicka Smith	MAC Smith (847) 688-3235				
	Security	Anti-Terrorism Force Planning (ATFP)	MAC Zanicka Smith	MAC Smith				
	Admin	Personnel Security	YNCM Jeffrey Sams	Mr. Dingler				
	Security	Physical Security Checks-Bldg (Security)	MAC Zanicka Smith	MAC Smith				
	Security	Key & Lock Control Program. (Security)	MAC Zanicka Smith	MAC Smith				
	MTD	Ordnance & Weapons Management (Live Fire)	LCDR Jared Pahl	LCDR Pahl (847) 688-7301				
	MTD	Arms Control & Security (Live Fire)	LCDR Jared Pahl	LCDR Pahl				
	MTD	Weapons Instructor Qualification (Live Fire)	LCDR Jared Pahl	LCDR Pahl				
	Executive	Data Collection of Injury/Illness Report (Safety) 3	Mr. Vic Hernandez	Mr. Hernandez (847) 688-4949, X219				
	SCD	Recruit ADMIN Separation (Legal)	Mr. Craig Pierce	LT John Blake (847) 688-7437				

2020 MICP INVENTORY OF ASSESSABLE UNITS (IAU)

Code	Office Name	Process	Process Owner	POC & Phone	2012 Flow Chart	2020 ICST/ ORM	2020 Cert Stmt	Comments
	Supply	Warehouse Ops (Supply Management)	Ms. Joanne Fritch	Ms. Fritch (847) 688-4980, X248				
	Supply	DTS/TAD/TDY Travel Management) (2)	Ms. Joanne Fritch	Ms. Fritch				
	Supply	Government Commercial Purchase Card (GCPC) Program (2	Ms. Joanne Fritch	Ms. Fritch				
	Supply	Personnel (Minor) Property Management.	Ms. Joanne Fritch	Ms. Fritch				
	Supply	Government Travel Charge Card (GTCC) Program	Ms. Joanne Fritch	Ms. Fritch				
	Supply	Budget Formulation	Ms. Joanne Fritch	Ms, Fritch				
	Executive	Service Request/Trouble Call Process (ADP)	Mr. Roy Wine	Mr. Wine (847) 688-4949, X210				
	SCD	Student Management (4)	ETCM Steven Williams	LCDR Endia Mendez (847) 688-3337, X1				
	Executive	Master Training Specialist (MTS) Program	HTC Michael Watts	HTC Watts, (847) 688-4949, X254				
	Supply	Telephone Billing & Collection	Ms. Joanne Fritch	Ms. Fritch				
	Supply	Telephone Service & Usage	Ms. Joanne Fritch	Ms. Fritch				
	Executive	Urinalysis Testing	EMC Susan Pavao	EMC Pavao (847) 688-3337, X7				
	Executive	GMT Mandatory Training Requirements	LT Antoine Washington	LT Washington, (847) 688-5325, X2				
	Executive	Suicide Prevention Program	LCDR Brian Lees	LT Kellen Lewis (847) 688-7537, X2				
	Executive	Command Evaluation (CE) Program	LT Jessika Hall	LT Hall, (847) 688-4949, X224				
	MTD	Foreign Language Screening / Testing	CTIC Santos Colon	CTIC Colon, (847) 688-3193, X754				
	Executive	Command Managed Equal Opportunity (CMEO)/EO Program	QMCS Jeffrey Brebner	QMCS Brebner (847) 688-5422, X3				
	Executive	Sexual Assault Prevention & Response (SAPR) Program	AEC Sonia Martinez	AEC Martinez (847) 561-6517				
	Executive	Drug & Alcohol (DAPA) Program	Mr. Peter Cianci	Mr. Cianci (847) 688-4949, X207				
	Executive	Managers' Internal Control Program (MICP)	LT Jessika Hall	LT Hall				
	MTD	Instructor Certification and Monitoring	LT Jessika Hall	LT Hall				
								Total: 39 Processes

2020 MICP INVENTORY OF ASSESSABLE UNITS (IAU)

Naval Reserve Officers Training Corps Units (NROTCU)/Maritime Academies

Code	Office Name	Process	Process Owner	POC & Phone	2020 Flow Chart	2020 ICST/ ORM	2020 Cert Stmt	Comments
		Performance Review Boards (PRB)						
		Command Evaluation (CE) Program						
		Managers' Internal Control Program (MICP)						
		Sexual Assault Prevention and Response (SAPR) Program						
		Physical Readiness Program						
		Drug and Alcohol Program						
		Urinalysis Program						
		Command Managed Equal Opportunity (CMEO) Program						
		Property Management Program						
		Privacy Act Program						
		Government Commercial Purchase Card (GCPC) Program, Convenience Checks (CONVCK) and Educational Service Agreement (ESA) Reporting						
		Government Travel Charge Card (GTCC) Program						
		Defense Travel System (DTS)						
		Civilian Time and Attendance (T&A) Program						
								Total: 14 Processes

Functional Categories

Functional Category 03: Procurement

- Government Commercial Purchase Card (GCPC) Program
- Government Travel Charge Card (GTCC) Program

Functional Category 04: Contract Administration

- Contract Management

Functional Category 05: Force Readiness

- Anti-Terrorism Force Planning (ATFP)
- Emergency Action Planning (EAP)
- Strategic Planning

Functional Category 07: Supply Operations

- Minor Property Management/Defense Property Accountability System (DPAS)
- Supply Management (including material requisitioning, issue, and receipt)
- Telecommunications

Functional Category 09: Communications, Security, and/or Intelligence

- Personnel Security Program
- Mishap Investigation and Reporting
- Ordnance and Weapons Management
- Physical Security

Functional Category 10: Information Technology

- Cyber Security (Network Security/Information Assurance)
- Information Technology (IT) Management
- Web-Site Management

Functional Category 11: Personnel and/or Organizational Management

- Awards
- Civilian Performance Appraisal Process
- Civilian Position Management
- Command Managed Equal Opportunity (CMEO)/Sexual Harassment Program
- Curriculum Development
- Curriculum Management

- Drug/Alcohol Program
- Equal Employment Opportunity (EEO)/Sexual Harassment Program
- Formal Course Review
- General Military Training (GMT)
- Instructor Certification/Qualifications
- Instructor Evaluation
- Instructor of the Year Program
- Master Training Specialist Program
- Missions, Functions and Tasks
- Operational Security (OPSEC)
- Personnel Security (Security Clearance)
- Performance Review Boards
- Quota Control/Management
- Sexual Assault Prevention and Response (SAPR) Program
- Student Management
- Training Feedback
- Training Project Plan
- Telework Management

Functional Category 12: Comptroller/Resource Management

- Accounting (including Contingent Liabilities and Adjustments to Obligations)
- Budget Formulation
- Civilian Time and Attendance
- Official Representation Funds
- Defense Travel System (DTS)

Functional Category 13: Support Services

- **Subfunction A: Administrative Support**

    - Freedom of Information Act (FOIA)
    - Managers' Internal Control Program (MICP)
    - Privacy Act Program
    - Public Affairs Office (PAO)
    - Records Management/TRIM
    - Voting Assistance Program

- **Subfunction B: IG/Audit**

    - Audit Follow-up/Liaison
    - Command Evaluation (CE) Program
    - Command Inspection Program
    - Hotline Investigation Program

- **Subfunction C: Facilities and/or Base Maintenance**

    - Host/Tenant Relations

- **Subfunction D: Legal**

    - Administrative Separations
    - Article 138 and 1150 Complaint of Wrongs
    - Command Inquiries/Investigations
    - Courts Martial
    - Joint Ethics
    - Litigation (Civil case) Other Than Contract
    - Nonjudicial Punishment (NJP)
    - Urinalysis Program

- **Subfunction F: Morale, Welfare and Recreation**

Command Morale, Welfare and Recreation Program

- **Subfunction G: Religion**

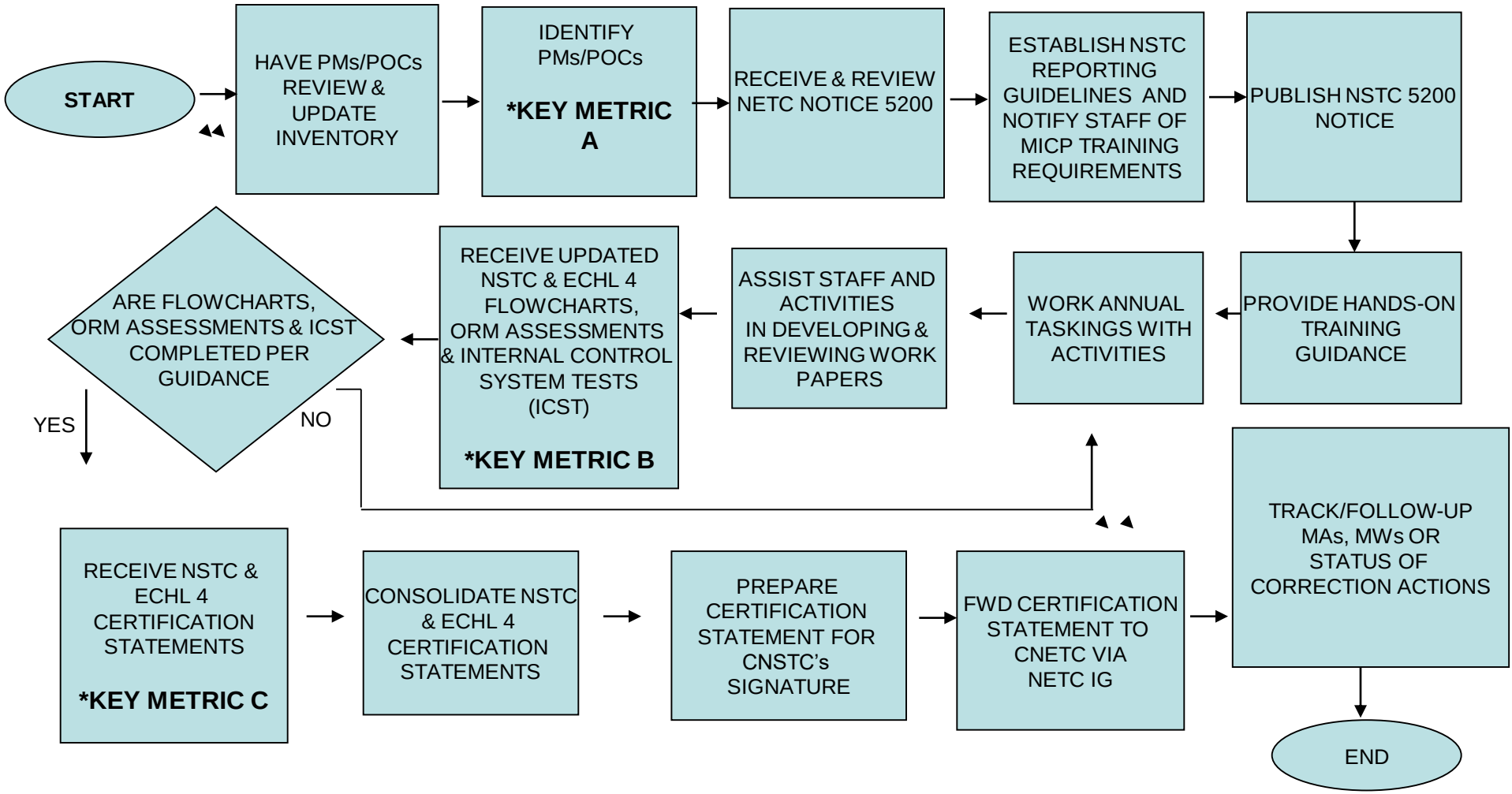
Suicide Prevention Program

Managers' Internal Control Program (MICP)

Purpose: Process by which NSTC documents compliance with Manager's Financial Integrity Act (FMFIA) / NETCINST 5200.1
Process Owner Code: NSTC IG, Phone: (847) 688-2258 (DSN 792)
Revised: October 2019

***KEY METRIC**

UNCLASSIFIED



OPERATIONAL RISK MANAGEMENT (ORM) ASSESSMENT
(OPNAVINST 3500.39C FIVE-STEP PROCESS)

Command/Department:

Work Process/Assessable Unit Title:

Step 1. Identify Hazards:

		Yes	No	N/A
a.	Has a flowchart been completed identifying major steps of the work process?	☐	☐	☐
b.	Have applicable hazards of each step with possible causes for those hazards been documented? If yes, attach copy (format on page 3). If no, comment on page 2.	☐	☐	☐
c.	Are internal controls/safeguards in place for Personally Identifiable Information (PII)?	☐	☐	☐

Step 2. Assess Hazards. Each hazard identified in Step 1 will be assigned a "Hazard Severity Category," "Mishap Probability Rating," and a "Risk Assessment Code (RAC)." The below matrices are a guide for assessing hazards.

		Yes	No	N/A
a.	Has each hazard been assigned a Hazard Severity Category?	☐	☐	☐
b.	Has each hazard been assigned a Mishap Probability Rating?	☐	☐	☐
c.	Has each hazard been assigned a RAC?	☐	☐	☐

Hazard Severity Category Matrix:

I (death, loss, or grave damage)
II (severe injury, damage, or inefficiencies)
III (minor injuries, damage, or inefficiencies)
IV (minimal threat to personnel and property)

Mishap Probability Sub-Category Matrix:

A (likely to occur immediately)
B (probably will occur in time)
C (may occur in time)
D (unlikely to occur)

Hazard Severity	Mishap Probability Rating			
	A	B	C	D
I	1	1	2	3
II	1	2	3	4
III	2	3	4	5
IV	3	4	5	5

Risk Assessment Code
1 = Critical
2 = Serious
3 = Moderate
4 = Minor
5 = Negligible

(Note: Hazard Severity + Mishap Probability Rating = Risk Assessment Code)

Step 3. Risk Decisions:

		Yes	No	N/A
a.	Have risks been prioritized and internal controls selected to reduce process risks?	☐	☐	☐
b.	Do selected internal controls provide benefits that outweigh risks?	☐	☐	☐
c.	If risk outweighs benefit, does the process warrant reporting to higher authority as a material weakness? Discuss issues on page 2.	☐	☐	☐

OPERATIONAL RISK MANAGEMENT (ORM) ASSESSMENT
(OPNAVINST 3500.39C FIVE-STEP PROCESS)

Step 4. Internal Control Implementation (more than one type internal control may apply):

a. Have "Engineering Controls" been implemented that reduce risks by design, material selection, or substitution when technically or economically feasible?

b. Have "administrative controls" been implemented that reduce risks through specific administrative actions, such as:

(1) Providing suitable warnings, markings, placards, signs, and notices?

(2) Establishing written policies, programs, instructions, and standard operating procedures?

(3) Training personnel to recognize hazards and take appropriate precautionary measures?

(4) Limiting the exposure to a hazard (either by reducing the number of personnel/assets or the length of time they are exposed)?

c. Is there use of "personal protective equipment" (serves as a barrier between personnel and a hazard and should be used when other controls do not reduce the hazard to an acceptable level)?

Step 5. Supervision. Is there periodic supervisory oversight of internal controls for the work process?

ORM Assessment conducted by:		**Date:**	
ORM Assessment reviewed by:		**Date:**	
(Department Head/Supervisor)			
ORM Assessment conducted by:		**Date:**	
ORM Assessment reviewed by:		**Date:**	
(Department Head/Supervisor)			
ORM Assessment conducted by:		**Date:**	
ORM Assessment reviewed by:		**Date:**	
(Department Head/Supervisor)			

(Additional signature blocks are provided to permit signatures in subsequent years.)

Issues/Comments:	**Actions (Include estimated completion dates.):**

OPERATIONAL RISK MANAGEMENT (ORM) ASSESSMENT
WORK PROCESS HAZARDS

Command/Department:

Work Process/Assessable Unit Title:

Document applicable risks and causes on the above work process. List hazards in order of severity. Refer to page 1 of ORM Assessment form for matrices to determine Hazard Severity Category, Mishap Probability Sub-Category, and Risk Assessment Code (RAC).

1. Hazard:

a. Cause:

b. Hazard Severity Category: Pick One

c. Mishap Probability Sub-Category: Pick One

d. RAC:

2. Hazard:

OPERATIONAL RISK MANAGEMENT (ORM) ASSESSMENT

WORK PROCESS HAZARDS

a. Cause:

b. Hazard Severity Category: Pick One

c. Mishap Probability Sub-Category: Pick One

d. RAC:

3. Hazard:

a. Cause:

b. Hazard Severity Category: Pick One

c. Mishap Probability Sub-Category: Pick One

d. RAC:

INTERNAL CONTROL SYSTEM TEST

1. Command/Department:

2. Work Process/Assessable Unit Title:

3. Process is linked to what NSTC domain strategic goal

☐ **Lines of Effort/Goal 1: Build Basic Skills**
Produce physically fit warfighters proficient at basic damage control, firefighting, watch standing, navigation, and seamanship.

☐ **Lines of Effort/Goal 2: Prepare for the Future**
Understand current and emerging Fleet requirements to produce Sailors ready to deploy.

☐ **Lines of Effort/Goal 3: Instill Core Attributes**
Build the foundation of our Sailors' professional identity by instilling integrity, accountability, initiative, and toughness.

☐ **Lines of Effort/Goal 4: Promote Citizenship**
Instill values of citizenship, service to the nation, personal responsibility, and a Sense of accomplishment.

☐ **Guiding Principles/Goal 5: Ensure Effective Curricula**
Ensure the effectiveness and relevance of accession training curricula continuously monitor internal activities/programs, eliminating, modifying, or shifting, as appropriate, to attain desired training outcomes.

☐ **Guiding Principles/Goal 6: Build a Standards Based Organization**
Continuously employ standards for character and professional competencies. Students will demonstrate required standards before progressing to the next phase of training. Measure and strive to enhance Fleet readiness.

☐ **Guiding Principles/Goal 7: Improve Production Management**
Utilize technology and process refinement to improve accessions training operations. Seek to improve data accuracy, increase data velocity, lessen duplication, and reduce administrative costs and waste.

☐ **Guiding Principles/Goal 8: Enhance Collaboration and Partnership**
Engage internal and external partners to facilitate better knowledge transfer, integration of best practices, and improved use of resources.

☐ **Guiding Principles/Goal 9: Promote Stewardship**
Actively manage, allocate, and monitor our resources to ensure that they are effectively and appropriately utilized to serve the Navy and our nation.

4 . Does the process include Privacy Act Information? ☐ **Yes** ☐ **No**

If yes, the Operational Risk Management (ORM) Assessment, shall include Personally Identifiable Information (PII) as a process risk (hazard**).**

5. Identify key metrics used to measure performance. Annotate the flowchart to show their location(s).
(Normally a work process will have two to three key metrics, internal controls, which show the level of progress towards achieving intended results.)

INTERNAL CONTROL SYSTEM TEST

6. Test the key metrics. Are they reliable indicators? ☐ **Yes** ☐ **No**
(If no, explain remedies in Item 9 below.)

7. Way(s) internal controls tested: (Perform and check one or more blocks.)

- ☐ Performed a physical inspection or walk-through of the process.
- ☐ Reviewed documents.
- ☐ Interviewed cognizant managers.
- ☐ Evaluated data.

8. Test Results

	Yes	No
a. Does the flowchart accurately reflect the process?	☐	☐
b. Is the process producing intended results?	☐	☐
c. Are protections against fraud, waste, abuse, and Mismanagement practices adequate?	☐	☐
d. Are laws and regulations followed?	☐	☐
e. Is the process effective, efficient, and economical?	☐	☐
f. Has an Operational Risk Management (ORM) Assessment been performed for each assessable unit process?	☐	☐

(1) If "YES", attach a completed ORM assessment.
If "NO", explain why in Item 9 below.
(2) For the ORM Assessment, what is the overall Risk Assessment Code (RAC)?
(check one)

- ☐ 1 = Critical
- ☐ 2 = Serious
- ☐ 3 = Moderate
- ☐ 4 = Minor
- ☐ 5 = Negligible

g. Are the internal controls acceptable for reducing risks?	☐	☐

INTERNAL CONTROL SYSTEM TEST
9. For any "NO" response above, indicate below if any action is planned and expected completion date.
10. Does this process warrant reporting to higher authority as a material weakness? ☐ Yes ☐ No **(If yes, briefly discuss why.)**

Attested to by:	**Date:**

(Additional signature blocks are provided to permit signatures in subsequent years.)

NSTCNOTE 5200
XX Nov 19

Sample Managers' Internal Control Certification Statement

5200
Code
Date

From: Responsible Official
To: Commander, Naval Service Training Command
Via: Inspector General, Naval Service Training Command

Subj: MANAGERS' INTERNAL CONTROL CERTIFICATION STATEMENT AS OF 30 SEPTEMBER 2020

Ref: (a) NETCINST 5200.1
(b) NETCNOTE 5200
(c) NSTCNOTE 5200

Encl: (1) Major Accomplishments, **if applicable**
(2) Material Weaknesses, **if applicable**

1. I have taken the necessary measures to ensure that the system of internal controls in effect during the period 1 July 2019 to 30 September 2020 has been evaluated per references (a) through (c). **Major accomplishments are presented in enclosure (1). (Provide major accomplishments as applicable**.)

2. **(Select one of the following assurance statements**:**)**

I am able to provide an unmodified certification statement that I have reasonable assurance management internal controls are in place and operating effectively. No material weaknesses or significant deficiencies are reported. The objectives of the Federal Managers' Financial Integrity Act were achieved. **(or)**

I am able to provide a modified certification statement that I have reasonable assurance management internal controls are in place and operating effectively, except for the material weaknesses/significant deficiencies discussed in enclosure (2). Overall, the objectives of the Federal Managers' Financial Integrity Act were achieved. **(or)**

I am providing a No Assurance certification statement that I do not have reasonable assurance management internal controls are in place and working effectively, as discussed in enclosure (2). However, remedial action is being taken to ensure compliance with the objectives of the Federal Managers' Financial Integrity Act.

3. Information to support the certification statement was derived from process analyses, audits, inspections, investigations, and other management information such as knowledge gained from daily operations of programs and functions.

Signed by Responsible Official
No By direction

MAJOR ACCOMPLISHMENTS	
1. General Information	
a. Command/Activity:	UIC:
b. Department:	
c. Functional Category:	
d. Work Process/Assessable Unit:	
e. Point of Contact:	
2. Major Accomplishments	
Discuss major steps taken to promote a control-conscious environment within the activity, or measures to strengthen internal controls. Define the requirement, if applicable, with the accomplishment in quantifiable detail:	

MATERIAL WEAKNESS
OR STATUS OF CORRECTIVE ACTIONS
- - - - - - - - - - - - - - - - -
COMPLETE ONLY APPLICABLE AREAS

1. General Information

a. Command/Activity: UIC:

b. Department:

c. Functional Category:

d. Work Process/Assessable Unit:

e. Point of Contact:

2. Material Weakness or Status of Corrective Actions

a. Title of material weakness:

b. Description of material weakness and impact on operations:

c. Source employed to identify material weakness (process analysis, audit finding, inspection, investigation or management studies):

(1) Source:

(2) Date Identified:

d. Corrective Actions: (Check applicable box, detail actions and milestones below.)
☐ Completed (Date:_____)
☐ Pending (Est. Completion Date:_____)
☐ Not correctable at this level (Note who must correct and why.)

e. Explain the methodology that will be (has been) employed to certify the effectiveness of the corrective actions:

Estimated Date of Certification:

THE CRITERIA USED FOR SELECTING CMD MAJOR ACCOMPLISHMENTS AND MATERIAL WEAKNESSES FOR INCLUSION IN THE MICP SOA SUBMISSION TO CNO (DNS)

Major Accomplishment – Criteria. (Use Form 5200/3)

Include management process improvements that can be linked to an internal control improvement and have resulted in: (must be explained as measurable and quantifiable; how linked to internal controls)

(1) Significant cost avoidance
(2) Innovative methods of increasing throughput and/or productivity
(3) Other innovative management practices that significantly improved a process.

Material Weakness - Criteria. (Use Form 5200/4)

A material weakness exists when a condition results in a relatively high risk of loss, errors or irregularities in relation to the assets or resources being managed. Professional judgment, based on applied common sense, must be used when determining materiality. **"Material to the DON" is the final determination of whether a material weakness is to be included in the Annual DON SOA Report.**

The below factors shall be considered in determining the existence of a reportable material weakness:

(1) Actual or potential loss of resources (e.g. property, inventory, personnel, etc.)
(2) Actual or potential loss of sensitive resources (e.g. drugs, materials, munitions (weapons and ammunition), etc.)
(3) Current or probable Congressional or media interest (adverse publicity)
(4) Impaired fulfillment of mission
(5) Unreliable information causing unsound management decisions
(6) Violations of statutory requirements
(7) Systemic deficiencies regardless of the magnitude of resources involved
(8) Magnitude of funds, property, or other resources involved
(9) Diminished credibility or reputation of management
(10) Deprived the public of needed Government services